



PTO/SB/21 (09-04)

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 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	10/823,346
Filing Date	04/12/2004
First Named Inventor	Shek Fai Lau
Art Unit	1723
Examiner Name	

Attorney Docket Number SHPR-01361USJ

### ENCLOSURES (Check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input type="checkbox"/> Other Enclosure(s) (please Identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Reply to Missing Parts/ Incomplete Application	<input type="checkbox"/> Landscape Table on CD	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53		
<b>Remarks</b>		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Fliesler Meyer LLP	Customer No. 23910
Signature		
Printed name	Melissa L. Basch	
Date	4-26-05	Reg. No. 56,159

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature		
Typed or printed name	Melissa L. Basch	Date 4-26-05

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Attorney Docket No. SHPR-01361USJ  
 mbasch/shpr/1361USJ/1361usj.trans.pdf

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APR 28 2005

Effective 12/08/2004.  
 Fees pursuant to the ~~TRADEMA~~ Appropriations Act, 2005 (H.R. 4818).

# FEE TRANSMITTAL For FY 2005

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$0)

**Complete if Known**

Application Number	10/823,346
Filing Date	04/12/2004
First Named Inventor	Shek Fai Lau
Examiner Name	
Art Unit	1723
Attorney Docket No.	SHPR-01361USJ

**METHOD OF PAYMENT** (check all that apply)

Check  Credit Card  Money Order  None  Other (please identify): \_\_\_\_\_

Deposit Account Deposit Account Number: 06-1325 Deposit Account Name: 23910 - Fliesler Meyer LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

Charge fee(s) indicated below  Charge fee(s) indicated below, except for the filing fee

Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17  Credit any overpayments

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**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES****Fee Description**

Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent

50 25

Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent

200 100

Multiple dependent claims

360 180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)	Multiple Dependent Claims	
				Fee (\$)	Fee Paid (\$)
- 20 or HP =	x	=			
HP = highest number of total claims paid for, if greater than 20					
Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)		
- 3 or HP =	x	=			
HP = highest number of independent claims paid for, if greater than 3					

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
- 100 =	/ 50 =	(round up to a whole number) x		=

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)

Other:

Fees Paid (\$)Fees Paid (\$)**SUBMITTED BY**

Signature	<u>Melissa L. Basch</u>	Registration No. (Attorney/Agent) <u>56,159</u>	Telephone <u>415.362.3800</u>
Name (Print/Type)	Melissa L. Basch	Date <u>4-26-05</u>	

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Attorney Docket No.: SHPR-01361USJ  
mbasch/SHPR/1361USJ/1361usj.fees.pdf



THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

Inventor: Lau, et al.

Appl. No.: 10/823,346

Confirm. No.: 4739

Filed: April 12, 2004

Title: ELECTRODE SELF-CLEANING MECHANISMS  
WITH ANTI-ARC GUARD FOR ELECTRO-  
KINETIC AIR TRANSPORTER-CONDITIONER  
DEVICES

PATENT APPLICATION

Art Unit: 1723

Examiner:

Customer No. 23910

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8**

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to **Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450**, on April 26, 2005

(Attorney Signature)

Melissa L. Basch, Reg. No. 56,159

Signature Date: April 26, 2005

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §1.56**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

It is requested that the information identified in this statement be considered by the Examiner and made of record in the above-identified application. This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR §1.56. If this is a continuation, divisional or continuation-in-part application, it is understood that the Examiner will consider all information which was considered by the Office in a parent application. MPEP §609. Such information therefore is not listed herein unless it is desired that the information be printed on a patent issuing from the subject application.

***Enclosed with this statement are the following:***

- Form PTO-1449. The Examiner is requested to initial the form and return it to the undersigned in accordance with MPEP §609.
- The present application is being/was filed after June 30, 2003. In accordance with the pre-Official Gazette waiver of 37 CFR 1.98 (a)(2)(i) posted at pac/dapp/opla/preognnotice/idswouscopies.htm, copies of cited U.S. patents and publications are not enclosed. Copies of cited foreign patent documents and non-patent literature are enclosed in accordance with 37 CFR §1.98(a)(2), as still required.
- The present application is being/was filed after June 30, 2003. In accordance with the pre-Official Gazette waiver of 37 CFR 1.98 (a)(2)(i) posted at pac/dapp/opla/preognnotice/idswouscopies.htm, copies of cited U.S. patents and publications are not enclosed. Additionally, copies of cited foreign patent documents and non-patent literature, items marked with an asterisk(\*), are enclosed in accordance with 37 CFR §1.98(a)(2), as still required. The non-

asterisked items were previously submitted in an Information Disclosure Statement by applicant in a parent application (see legend at end of Form PTO-1449), from which benefit under 35 USC §120 is claimed, which Information Disclosure Statement complies with the September 8, 2000 or subsequent revision of 37 CFR §1.98(a-c), as allowed under 37 CFR §1.98(d)(1).

The present application is being/was filed after June 30, 2003. In accordance with the pre-Official Gazette waiver of 37 CFR 1.98 (a)(2)(i) posted at pac/dapp/opla/preognotice/idswouscopies.htm, copies of cited U.S. patents and publications are not enclosed. Additionally, all cited foreign patent documents and non-patent literature are not enclosed because they were previously submitted in an Information Disclosure Statement by applicant in a parent application (see legend at end of Form PTO-1449), from which benefit under 35 USC §120 is claimed, which Information Disclosure Statement complies with the September 8, 2000 or subsequent revision of 37 CFR §1.98(a-c), as allowed under 37 CFR §1.98(d)(1).

X If any of the cited/submitted documents is in a foreign language, a concise explanation of relevance is provided pursuant to 37 CFR §1.98(a)(3)(i). For foreign language documents cited in a search report by a foreign patent office, the requirement for a concise explanation of relevance is satisfied by the submission herewith of an English language version of the search report. MPEP §609A(3). If a written English-language translation of a non-English language document, or portion thereof, is within the possession, custody or control of, or is readily available to any individual designated in §1.56(c), a copy of the translation accompanies this statement, 37 CFR §1.98(a)(3)(ii), and satisfies the requirement for a concise explanation of relevance, MPEP §609A(3).

PTA Statement under 37 CFR §1.704(d). Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of the information disclosure statement.

***This statement should be considered because:***

X **37 CFR §1.97(b)**. This statement qualifies under 37 CFR §1.97, subsection (b) because:

- (1) It is being filed within three months of the filing date of an application other than a continued prosecution application under §1.53(d);  
-- OR --
- (2) It is being filed within 3 months of entry of a national stage;  
-- OR --
- (3) It is being filed before the mailing date of the first Office Action on the merits,  
-- OR --
- (4) It is being filed before the mailing date of the first Office Action after the filing of a Request for Continued Examination under 37 CFR §1.114.

37 CFR §1.97(c). Although it may not qualify under subsection (b), this statement qualifies under 37 CFR §1.97, subsection (c) because:

- (1) It is being filed before the mailing date of a FINAL Office Action, a Notice of Allowance, or an action that otherwise closes prosecution in the subject application, whichever occurs first.  
-- AND (check at least one of the following) --
  - (1) It is accompanied by a STATEMENT as set forth in 37 CFR §1.97(e).  
-- OR --

— (2) It is accompanied by the \$180 fee set forth in 37 CFR §1.17(p).  
**37 CFR §1.97(d).** Although it may not qualify under subsection (b) or (c), this statement qualifies under 37 CFR §1.97, subsection (d) because:

- (1) It is being filed on or before payment of the issue fee;  
    -- AND --
- (2) It is accompanied by a STATEMENT as set forth in 37 CFR §1.97(e);  
    -- AND --
- (3) It is accompanied by the \$180 fee set forth in 37 CFR §1.17(p).

***Fee Authorization.*** The Commissioner is hereby authorized to charge underpayment of any additional fees or credit any overpayment associated with this communication to Deposit Account No. 06-1325.

— This Information Disclosure Statement is being filed on the same date as an electronic Information Disclosure Statement. The \$180 fee is being paid herewith; therefore, no fee is due for the electronic Information Disclosure Statement filed on \_\_\_\_\_ for this application.

Respectfully submitted,

Date: 4-26-05

By: 

Melissa L. Basch  
Reg. No. 56,159

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Facsimile: (415) 362-2928

INFORMATION DISCLOSURE CITATION  
BY APPLICANTAPR 28 2005  
U.S. PATENT AND TRADEMARK OFFICE  
O I P E  
S C 1  
Applicant

Shek Fai Lau, et al.

Filing Date  
04/12/2004Group Art Unit  
1723

## U.S. PATENTS

Examiner Initial		Patent Number	Issue Date	Name	Class	Subclass	Filing Date
1.		653,421 A	7/10/1900	Lorey			8/22/1899
2.		995,958 A	6/20/1911	Goldberg			2/10/1911
3.		1,791,338 A	2/3/1931	Wintermute			4/12/1927
4.		1,869,335 A	7/26/1932	Day			12/13/1926
5.		2,327,588 A	8/24/1943	Bennett			6/1/1940
6.		2,359,057 A	9/26/1944	Skinner			2/28/1942
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11.		3,374,941 A	3/26/1968	Okress			6/30/64
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14.		3,581,470 A	6/1/1971	Aitkenhead et al.			12/30/1969
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25.		4,231,766 A	11/4/1980	Spurgin			12/11/1978

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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INFORMATION DISCLOSURE CITATION  
BY APPLICANT

Applicant

Shek Fai Lau, et al.

Filing Date

04/12/2004

Group Art Unit

1723

26.	4,232,355 A	11/4/1980	Finger et al.			1/8/1979
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31.	4,264,343	4/28/1981	Natarajan et al.			5/18/1979
32.	4,266,948 A	5/12/1981	Teague et al.			1/4/1980
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41.	4,477,263 A	10/16/1984	Shaver et al.			6/28/1982
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46.	4,536,698 A	8/20/1985	Shevalenko et al.			8/25/1983
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49.	4,601,733 A	7/22/1986	Ordines et al.			9/27/1984
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EXAMINER

DATE CONSIDERED

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INFORMATION DISCLOSURE CITATION  
BY APPLICANT

Applicant

Shek Fai Lau, et al.

Filing Date

04/12/2004

Group Art Unit

1723

53.	4,674,003 A	6/16/1987	Zylka			4/3/1985
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61.	4,772,297 A	9/20/1988	Anzai			8/19/1986
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65.	4,789,801 A	12/6/1988	Lee			4/3/1987
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69.	4,941,068 A	7/10/1990	Hofmann			8/1/1988
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77.	5,012,159 A	4/30/1991	Torok et al.			11/15/1989
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79.	5,053,912 A	10/1/1991	Loreth et al.			10/1/1991

EXAMINER	DATE CONSIDERED
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**FORM PTO-1449**  
*(Substitute)*

US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Attorney Docket Number  
SHPR-01361USJ

Serial No.  
10/823,346

**INFORMATION DISCLOSURE CITATION  
BY APPLICANT**

Applicant

Shek Fai Lau, et al.

Filing Date

04/12/2004

Group Art Unit

1723

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84.	D332,655 S	1/19/1993	Lytle et al.			10/4/1991
85.	5,180,404 A	1/19/1993	Loreth et al.			6/10/1991
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87.	5,196,171 A	3/23/1993	Peltier			3/11/1991
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90.	5,248,324 A	9/28/1993	Hara			2/18/1992
91.	5,266,004 A	11/30/1993	Tsumurai et al.			11/30/1993
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95.	5,315,838 A	5/31/1994	Thompson			8/16/1993
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97.	5,378,978 A	1/3/1995	Gallo et al.			4/2/1993
98.	5,435,817 A	7/25/1995	Davis et al.			5/20/1994
99.	5,437,713 A	8/1/1995	Chang			12/1/1994
100.	5,484,472 A	1/16/1996	Weinberg			2/6/1995
101.	5,484,472 C1	2/20/2001	Weinberg			2/6/1995
102.	5,532,798 A	7/2/1996	Nakagami et al.			7/2/1996
103.	5,535,089 A	7/9/1996	Ford et al.			10/17/1994
104.	D375,546 S	11/12/1996	Lee			12/27/1995
105.	5,578,112 A	11/26/1996	Krause			6/1/1995
106.	D377,523 S	1/21/1997	Marvin et al.			8/15/1995

EXAMINER	DATE CONSIDERED
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Applicant

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Group Art Unit

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